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# NOTICE OF ALLOWANCE AND FEE(S) DUE

7590

06/03/2004

KLARQUIST SPARKMAN CAMPBELL LEIGH & WHINSTON,LLP One World Trade Center Suite 1600 121 S W Salmon Street Portland, OR 97204-2988

EXA	MINER
PATEL,	HARESH N
ART UNIT	PAPER NUMBER
2154	

DATE MAILED: 06/03/2004

-	APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
•	09/602,300	06/23/2000	G. Eric Engstrom	3382-55510	1178

TITLE OF INVENTION: APPLICATION PROGRAMMING INTERFACE ENABLING APPLICATION PROGRAMS TO GROUP CODE AND DATA TO CONTROL ALLOCATION OF PHYSICAL MEMORY IN A VIRTUAL MEMORY SYSTEM

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1330	\$0	\$1330	09/03/2004

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. <u>PROSECUTION ON THE MERITS IS CLOSED</u>. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE REFLECTS A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE APPLIED IN THIS APPLICATION. THE PTOL-85B (OR AN EQUIVALENT) MUST BE RETURNED WITHIN THIS PERIOD EVEN IF NO FEE IS DUE OR THE APPLICATION WILL BE REGARDED AS ABANDONED.

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I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status is changed, pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above and notify the United States Patent and Trademark Office of the change in status, or

If the SMALL ENTITY is shown as NO:

- A. Pay TOTAL FEE(S) DUE shown above, or
- B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check the box below and enclose the PUBLICATION FEE and 1/2 the ISSUE FEE shown above.
- □ Applicant claims SMALL ENTITY status. See 37 CFR 1.27.

II. PART B - FEE(S) TRANSMITTAL should be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). Even if the fee(s) have already been paid, Part B - Fee(s) Transmittal should be completed and returned. If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted.

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### PART B - FEE(S) TRANSMITTA



Mail Stop ISSUE FEE Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450

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INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Legibly mark-up with any corrections or use Block 1)

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06/03/2004

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Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

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I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO, on the date indicated below.

(Depositor's name
 (Signature
 (Date

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nonprovisional	NO	\$1330	)	\$0	\$1330	09/03/2004
EXAM	MINER	ART UN	IТ	CLASS-SUBCLASS	]	
PATEL, F	HARESH N	2154		719-328000		
1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).  Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.  "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.		names of agents Of firm (hav agent) an	inting on the patent front page, f up to 3 registered patent at R, alternatively, (2) the name ring as a member a registered d the names of up to 2 registered or agents. If no name is listed inted.	ttorneys or 1 of a single attorney or 2 ered patent		

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the USPTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

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Please check the appropriate assignee category or cate	gories (will not be printed on the patent);	☐ individual	□ corporation or other private group entity	government
4a. The following fee(s) are enclosed:	4b. Payment of Fee(s):			
☐ Issue Fee	☐ A check in the amo	ount of the fee(s)	is enclosed.	
☐ Publication Fee	☐ Payment by credit	card. Form PTO-	2038 is attached.	
Advance Order - # of Copies	☐ The Director is he Deposit Account Nur		by charge the required fee(s), or credit any (enclose an extra copy of this	
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7590 06/03/2004 KLARQUIST SPARKMAN CAMPBELL			EXAMINER		
			PATEL, HARESH N		
LEIGH & WHINS One World Trade	•		ART UNIT	PAPER NUMBER	
121 S W Salmon Street			2154		
Portland, OR 97204-2988			DATE MAILED: 06/03/2004	4 7	

# Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)

(application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 606 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 606 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) system (http://pair.uspto.gov).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (703) 305-1383. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at (703) 305-8283.

		" 7	ARC.
	Application No.	Applicant(s)	
	09/602,300	ENGSTROM ET A	AL.
Notice of Allowability	Examiner	Art Unit	
	Haresh Patel	2154	
The MAILING DATE of this communication appeal All claims being allowable, PROSECUTION ON THE MERITS IS herewith (or previously mailed), a Notice of Allowance (PTOL-85) NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RI of the Office or upon petition by the applicant. See 37 CFR 1.313	(OR REMAINS) CLOSED in this app or other appropriate communication GHTS. This application is subject to	olication. If not inclu will be mailed in du	ided le course. <b>THIS</b>
1. This communication is responsive to <u>3/15/04</u> .			
2. The allowed claim(s) is/are 1-10 and 20-27.			
3. $\boxtimes$ The drawings filed on <u>23 June 2000</u> are accepted by the E	xaminer.		
<ul> <li>4. ☐ Acknowledgment is made of a claim for foreign priority una a) ☐ All b) ☐ Some* c) ☐ None of the:</li> <li>1. ☐ Certified copies of the priority documents have 2. ☐ Certified copies of the priority documents have 3. ☐ Copies of the certified copies of the priority documents have International Bureau (PCT Rule 17.2(a)).</li> <li>* Certified copies not received:</li> </ul>	been received. been received in Application No	<del></del> -	cation from the
Applicant has THREE MONTHS FROM THE "MAILING DATE" noted below. Failure to timely comply will result in ABANDONM THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.		complying with the I	requirements
5. A SUBSTITUTE OATH OR DECLARATION must be subm INFORMAL PATENT APPLICATION (PTO-152) which give			NOTICE OF
6. CORRECTED DRAWINGS ( as "replacement sheets") mus  (a) including changes required by the Notice of Draftspers  1) hereto or 2) to Paper No./Mail Date  (b) including changes required by the attached Examiner's Paper No./Mail Date  ldentifying Indicia such as the application number (see 37 CFR 1. each sheet. Replacement sheet(s) should be labeled as such in the	on's Patent Drawing Review (PTO- s Amendment / Comment or in the C	Office action of	he back) of
7. DEPOSIT OF and/or INFORMATION about the deposit attached Examiner's comment regarding REQUIREMENT			. Note the
Attachment(s)  1. Notice of References Cited (PTO-892)	5. Notice of Informal P	atent Application (P	TO-152)
2. Notice of Draftperson's Patent Drawing Review (PTO-948)	6. 🛛 Interview Summary		
3. Information Disclosure Statements (PTO-1449 or PTO/SB/0	Paper No./Mail Dat 8), 7. ⊠ Examiner's Amendr		
Paper No./Mail Date 4.  Examiner's Comment Regarding Requirement for Deposit	8. 🛛 Examiner's Stateme	ent of Reasons for A	llowance
of Biological Material	9.  Other		
(be	JOHN FOLLANSBEE SUPERVISORY PATENT EXAMINER TECHNOLOGY CENTER 2100	3	

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### **EXAMINER'S AMENDMENT**

1. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

- 2. Authorization for this examiner's amendment was given in a telephone interview with Stephen A Wight on May 14, 2004.
- 3. The application has been amended as follows:

This listing of claims replaces all prior versions, and listings, of claims in the application.

Listing of Claims:

1. (Currently amended) In a multitasking operating system that uses virtual memory to share physical memory among concurrently executing application programs, a method for controlling allocation of physical memory comprising:

in response to a <u>program</u> call from an application program[,] other than an operating system, <u>create a data structure</u> to group <u>said application</u> specified code or data in a group [creating a structure to group the code or data specified by the application];

monitoring for a not-present interrupt generated by a virtual memory system of said multitasking operating system in response to a said application request to access any part of the code or the data in the group; and

when the not-present interrupt occurs for a unit of memory in the group, loading all of the code or the data in the group that is not already in physical memory into said physical memory from secondary storage at one time, using a single series of loading operations without further non-present interrupts being generated by said virtual memory system for another unit of memory in said group, and said loading including [loading] the unit of memory [for which the not present interrupt has occurred] and all other units of memory used to store the code or the data in the group.

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2. (Original) The method of claim 1. wherein the structure includes a linked list structure that links together code or data stored at non-contiguous portions of virtual memory.

- 3. (Original) The method of claim 2 wherein the structure links pages of memory associated with the non-contiguous portions of code or data.
- 4. (Original) The method of claim 1. further including: repeating the steps of claim 1 for additional groups of code or data specified by the application.
- 5. (Original) The method of claim 4 further including: repeating the steps of claim I for a group of code or data for another concurrently executing application such that more than one concurrently executing application program has specified at least one group of code or data to be treated as a single piece of memory for loading into physical memory in response to a not-present interrupt.
- 6. (Original) The method of claim 1 further including: when the not-present interrupt occurs, checking whether the interrupt has occurred for a unit of memory in the group by evaluating whether an address of the memory request for which the interrupt occurred is within a series of non-contiguous memory addresses of the group.
- 7. (Original) The method of claim 11 further including:
  tracking memory accesses to units of memory in the group together such that when a unit
  of memory in the group is accessed, all of the units of memory in the group are marked as
  accessed; and

determining which portions of physical memory to swap from physical memory to secondary storage by determining which units of code are marked as accessed, such that units are selected to be swapped from physical memory to secondary storage based on frequency of use or how recently the units of code have been accessed.

8. (Original) The method of claim 7 further including:

in response to a call from an application program to group specified code or data in a second group, creating a second structure to group the code or data specified by the application;

tracking memory accesses to units of memory in the first and second group such that when a unit of memory in both the first and second group is accessed, all of the units of memory in the first and second group are marked as accessed and the unit of memory in both the first and second group is marked as being accessed twice.

- 9. (Original) The method of claim 8 when a block of code or data shared between two or more groups is accessed, marking the block as being accessed n times where n is the number of groups that share the block.
- 10. (Original) A computer-readable medium storing instructions for performing the steps of a method recited in claim 1.

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- 11. (Canceled)
- 12. (Canceled)
- 13. (Canceled)
- 14. (Canceled)
- 15. (Canceled)
- 16. (Canceled)
- 17. (Canceled)
- 18. (Canceled)
- 19. (Canceled)
- 20. (Currently Amended) A computer-readable medium having stored thereon a data structure used for virtual memory management in a multitasking operating system, comprising:

a series of data fields forming a group for indicating blocks of code or data [associated with] specified by a program call by] an application to be treated as a single unit for purposes of virtual memory management, the data fields including a list of memory addresses of the blocks and sizes of each block in the list;

wherein the data structure is evaluated in a data processing operation to load each of the blocks into physical memory whenever a not-present interrupt is generated by said virtual memory system in response to said application request for any memory address referring to a location included in one of the said blocks[.];

wherein the loading of the blocks into the physical memory is performed at one time, using a single series of loading operations without further non-present interrupts being generated by said virtual memory system for another unit of memory in said group.

- 21. (Previously Presented) The computer readable medium of claim 20, wherein the list of memory addresses is an array of pointers to blocks of memory to be placed in the group.
- 22. (Previously Presented) The computer readable medium of claim 20, wherein the sizes of each block in the list is indicated in an array of parameters.
- 23. (Previously Presented) The computer readable medium of claim 20, wherein the data structure is used to derive a linked list structure for keeping track of pages used to store the code or data associated with the group as specified by the application.

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24. (Previously Presented) The method of claim 1 further comprising, in response to a second call from the application program to further add units of memory to the group, adding the units of memory to the data structure as specified by the application.

- 25. (Previously Presented) The method of claim 1 further comprising, in response to a second call from the application to delete specified units of memory from the group, deleting the units of memory specified by the application from the data structure.
- 26. (Previously Presented) The method of claim 1 further comprising, in response to a second call from the application to destroy the group, destroying the data structure previously used for creating the group.
- 27. (Currently Amended) In a multitasking operating system that uses virtual memory to share physical memory among concurrently executing application programs, a virtual memory management system comprising:

means for creating a data structure to group code or data specified by one of the concurrently executing applications in a group, in response to a <u>program</u> call from the application <u>other than an operating system</u> [to create a group of specified code or data];

means for monitoring for a not-present interrupt generated <u>by a virtual memory system of said</u> <u>multitasking operating system</u> in response to a <u>said application</u> request to access any part of the code or <u>the</u> data in the group; and

means for when the not-present interrupt occurs for a unit of memory in the group, loading all of the code or the data in the group that is not already in physical memory into said physical memory from secondary storage at one time, using a single series of loading operations without further non-present interrupts being generated by said virtual memory system for another unit of memory in said group, and said loading including [means for loading] the unit of memory [for which the not present interrupt has occurred] and all other units of memory used to store the code or the data in the group[, when the not-present interrupt occurs for a unit of memory in the group].

#### **DETAILED ACTION**

- 4. The amendment on May 14, 2004 is noted and made of record.
- 5. Claims 1-10, 20-27, are presented for examination. Claims 11-19 are cancelled.

Allowable Subject Matter

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- 6. Claims 1-10, 20-27, are allowed.
- 7. The following is an examiner's statement of reasons for allowance:

Applicant's invention discloses a method, implementation of a data structure stored on a computer-readable medium and a virtual memory management system for using an application program call (other than an operating system call) to specify and load a code or data into the physical memory.

The cited teaching provides an API that enables applications to classify code and data in a group that is to be loaded into physical memory together whenever an application attempts to access any part of the code or data in the group. This API enables applications to improve performance in virtual memory systems because it prevents page faults from being spread out over time as an application makes read/write requests to code and data. The application specifies code and data that is part of a group. When the virtual memory system in the operating system signals a Not present interrupt due to the application's attempt to access code or data in the group that is not present in physical memory, the API implementation causes all of the code and data in the group to be loaded into physical memory together, i.e., in a single series of memory loading operations before the application resumes execution (generation of second not present interrupt). Thus, the latency of loading code or data from secondary storage is compressed into one period of time, and from then on, all of the code and data in the group is in physical memory.

The prior arts do not teach an API implementation to cause all of the code and data in the group to be loaded into physical memory together, i.e., in a single series of memory loading operations before the application resumes execution. Therefore, the claims are allowable over the art of record.

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### Conclusion

8. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Haresh Patel whose telephone number is (703) 605-5234. The examiner can normally be reached on Monday, Tuesday, Thursday and Friday from 10:00 am to 8:00 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Follansbee, can be reached at (703) 305-8498.

The appropriate fax phone number for the organization where this application or proceeding is assigned is (703) 872-9306.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.

Haresh Patel

May 23, 2004.

Art Unit: 2154

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Haresh Patel

May 23, 2004.

JOHN FOLLANSBEE
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100